

07/06/00

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PTO/SB/05 (4/98)

Approved for use through 09/30/2000. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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U.S. PTO

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney  
DocketNo.

81230.55US1

First Inventor:

Hayes, Patrick

Title

CONSUMER ELECTRONIC NAVIGATION  
SYSTEM AND METHODS RELATED THEREExpress Mail Label  
No.

E1248899756US

JCS36-001820  
09/06/00

07/06/00

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ \*Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Specification [Total Pages 34]  
(preferred arrangement set forth below)  
-Descriptive title of the Invention  
-Cross Reference to Related Applications  
-Statement Regarding Fed sponsored R&D  
-Reference to Microfiche Appendix  
-Background of the Invention  
-Brief Summary of the Invention  
-Brief Description of the Drawings (if filed)  
-Detailed Description  
-Claim(s)  
-Abstract of the Disclosure
3. ☒ Drawing(s) (35 U.S.C. 133) [Total Sheets 14]
4. Oath or Declaration [Total Pages 3]  
a. ☒ Newly executed (original or copy)  
b. ☐ Copy from a prior application (37 C.F.R. § 1.63(d))  
(for continuation/divisional with Box 16 completed)  
i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 C.F.R. §§  
1.63(d)(2) and 1.33(b).

\*NOTE FOR ITEMS 1 & 13: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES,  
A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED  
IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).

Assistant Commissioner for Patents  
ADDRESS TO: Box PATENT APPLICATION  
Washington, DC 20231

5. ☐ Microfiche Computer Program (Appendix)  
6. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)  
a. ☐ Computer Readable Copy  
b. ☐ Paper Copy (identical to computer copy)  
c. ☐ Statement verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

7. ☐ Assignment Papers (cover sheet & document(s))  
8. ☐ 37 C.F.R. § 3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)  
9. ☐ English translation Document (if applicable)  
10. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations  
11. ☐ Preliminary Amendment  
12. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)  
13. ☒ \*Small Entity Statements ☐ Statement filed in prior application, Status still proper and desired (PTO/SB/09-12)  
14. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)  
15. ☒ Other: Check in the amount of \$831.00

16. ☐ If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: \_\_\_\_\_  
Prior application information: Examiner \_\_\_\_\_ Group/Art Unit: \_\_\_\_\_

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**17. CORRESPONDENCE ADDRESS**☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☒ Correspondence address below.

Name John E. Hyatt

Address Altheimer &amp; Gray, 10 South Wacker Drive, Suite 4000

City Chicago

State

Illinois

Zip Code

60606

Country U.S.A.

Telephone

(312) 715-4544

Fax

(312) 7154108

Name (Print/Type)

John E. Hyatt

Registration No.

43,421

Signature

[Signature]

Date:

7/6/00

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**FEE TRANSMITTAL  
for FY 2000**

Patent fees are subject to annual revision.  
Small Entity payments must be supported by a small entity  
statement, otherwise large entity fees must be paid. See Forms  
PTO/SB/09-12.  
See 37 C.F.R. §§ 1.27 and 1.28.

**Complete if Known**

Application Number	not assigned
Filing Date	concurrent herewith
First Named Inventor	Hayes
Examiner Name	
Group / Art Unit	

TOTAL AMOUNT OF PAYMENT	(\$831.00)
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Attorney Docket No.	81230.55US1
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**METHOD OF PAYMENT (check one)**

1. ☒ The Commissioner is hereby authorized to charge  
indicated fees and credit any over payments to:

Deposit Account Number	011,156
Deposit Account Name	Alzheimer & Gray

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

2. ☒ Payment Enclosed:

☒ Check ☐ Money Order ☐ Other

**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Fee Code	Small Entity Fee Code	Fee (\$)	Fee (\$)	Fee Description	Fee Paid
101	201	690	345	Utility filing fee	345.00
106	206	310	155	Design filing fee	
107	207	480	240	Plant filing fee	
108	208	690	348	Reissue filing fee	
114	214	150	75	Provisional filing fee	
<b>SUBTOTAL (1)</b>					<b>(\$345.00)</b>

**2. EXTRA CLAIM FEES**

Total Claims	Extra Fee Claims from below	Fee Paid
48	-20** = 28 x 9 = 252.00	
9	-3** = 6 x 39 = 234.00	
Multiple Dependent Claims =		

\*\*or number previously paid, if greater; For Reissues, see below

Large Entity Fee Code	Small Entity Fee Code	Fee (\$)	Fee (\$)	Fee Description
103	203	18	9	Claims in excess of 20
102	202	78	39	Independent claims in excess of 3
104	204	260	130	Multiple dependent claim, if not paid
109	209	78	39	** Reissue independent claims over original patent
110	210	18	9	** Reissue claims in excess of 20 and over original patent
<b>SUBTOTAL (2)</b>				
<b>(\$486.00)</b>				

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Fee Code	Small Entity Fee Code	Fee (\$)	Fee (\$)	Fee Description	Fee Paid
105	205	130	65	Surcharge- late filing fee or oath	
127	227	50	25	Surcharge- late provisional filing fee or cover sheet	
139	239	130	130	Non-English specification	
147	247	2,520	2,520	For filing a request for reexamination	
112	212	920*	920*	Requesting publication of SIR prior to Examiner action	
113	213	1,840*	1,840*	Requesting publication of SIR after Examiner action	
115	215	110	55	Extension for reply within first month	
116	216	380	190	Extension for reply within second month	
117	217	870	435	Extension for reply within third month	
118	218	1,360	680	Extension for reply within fourth month	
128	228	1,850	925	Extension for reply within fifth month	
119	219	300	150	Notice of Appeal	
120	220	300	150	Filing a brief in support of an appeal	
121	221	260	130	Request for oral hearing	
138	238	1,510	1,510	Petition to institute a public use proceeding	
140	240	110	55	Petition to revive - unavoidable	
141	241	1,210	605	Petition to revive - unintentional	
142	242	1,210	605	Utility issue fee (or reissue)	
143	243	430	215	Design issue fee	
144	244	580	290	Plant issue fee	
122	222	130	130	Petitions to the Commissioner	
123	223	50	50	Petitions related to provisional applications	
126	226	240	240	Submission of Information Disclosure Stmt	
581	281	40	40	Recording each patent assignment per property (times number of properties)	
146	246	690	345	Filing a submission after final rejection (37 CFR 1.129(a))	
149	249	690	345	For each additional invention to be examined (37 CFR 1.129(b))	

Other fee (specify) \_\_\_\_\_

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)****(\$)****SUBMITTED BY**

Typed or Printed Name	John E. Hyatt
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Signature	<i>J. Hyatt</i>
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Date	7/6/00
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**Complete (if applicable)**

Reg. Number	43,421
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Deposit Account User ID	
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 Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE  
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**STATEMENT CLAIMING SMALL ENTITY STATUS**  
**(37 CFR 1.9(f) & 1.27(c))—SMALL BUSINESS CONCERN**

Docket Number (Optional)  
 81230.55US1

Applicant, Patentee, or Identifier: Hayes, et al.

Application or Patent No.: Not assigned

Filed or Issued: Concurrent herewith

Title: CONSUMER ELECTRONIC NAVIGATION SYSTEM AND METHODS RELATED THERETO

I hereby state that I am

- ☐ the owner of the small business concern identified below:  
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN Universal Electronics Inc.

ADDRESS OF SMALL BUSINESS CONCERN 6101 Gateway Drive, Cypress, California 90630-4841

I hereby state that the above identified small business concern qualifies as a small business concern as defined in 13 CFR Part 121 for purposes of paying reduced fees to the United States Patent and Trademark Office. Questions related to size standards for a small business concern may be directed to: Small Business Administration, Size Standards Staff, 409 Third Street, SW, Washington, DC 20416.

I hereby state that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:

- ☒ the specification filed herewith with title as listed above.  
☐ the application identified above.  
☐ the patent identified above.

If the rights held by the above identified small business concern are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization having any rights in the invention is listed below:

- ☐ no such person, concern, or organization exists.  
☐ each such person, concern, or organization is listed below.

Separate statements are required from each named person, concern or organization having rights to the invention stating their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

NAME OF PERSON SIGNING Richard A. Firehammer, Jr., Esq.

TITLE OF PERSON IF OTHER THAN OWNER Sr. Vice President and General Counsel

ADDRESS OF PERSON SIGNING 8190 Carrington Place, Bainbridge Township  
Chagrin Falls, OH 44023

SIGNATURE 

DATE 6/28/00

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Mark R. Galis  
(312) 715-4770  
galism@alzheimer.com

LAW OFFICES  
**ALTHEIMER  
& GRAY**

10 SOUTH WACKER DRIVE  
CHICAGO, ILLINOIS 60606-7482  
TEL: (312) 715-4000  
FAX: (312) 715-4800

July 6, 2000

Assistant Commissioner for Patents  
Box PATENT APPLICATION  
Washington, DC 20231

**Re: Utility Patent Application**  
**Title: Consumer Electronic Navigation System and Methods Related**  
**Thereto**  
**Docket #: 81230.55US1**

Dear Sir:

Enclosed for filing in the U.S. Patent and Trademark Office is the above-referenced patent application:

- 1) Utility Patent Application transmittal
- 2) Fee Transmittal in duplicate
- 3) Specification (34 pgs.)
- 4) Formal drawings (14 pgs.)
- 5) Declaration and Power of Attorney (2 pgs.)
- 6) Check # 200877 in the amount of \$831.00
- 7) Postage prepaid return postcard

Respectfully submitted,

John E. Hyatt  
For Alzheimer & Gray  
Registration No. 43,421

Enclosures

Certificate Under 37 CFR 1.10: The undersigned hereby certifies that this document and its enclosures are being deposited with the United States Postal Service via Express Mail Label No. EI248899756US in an envelope addressed to: Assistant Commissioner for Patents, BOX PATENT APPLICATION, Washington, DC 20231, on this 6th day of July, 2000.

By:   
Lisa Lyle